



HANDBOOK

OF THE FACULTY OF ARTS & SCIENCES



July, 2021

DARTMOUTH COLLEGE
HANOVER, NEW HAMPSHIRE



FOREWORD

Dear Colleagues:

This electronic edition of the Faculty Handbook replaces all previous editions and is the document of record when referencing the operating principles of the Arts & Sciences. The purpose of this document is to provide all of us with a common source for understanding the various policies and procedures of the Arts & Sciences, to provide convenient access to the guidelines of other areas of the College, to aid in the identification of available College resources, and to describe our basic organizational structure.

Because of the range of topics covered in the Faculty Handbook, the source and authority for each varies. Some matters described in this document are the result of formal actions by the Faculty of Arts and Sciences or by one of its committees; others represent actions taken by the Board of Trustees; still others are the result of administrative practice and policy, either here in the Dean of the Faculty Office or other administrative areas. Some topics are covered primarily through links to online information in other areas of the College.

The electronic format of this document will continue to permit modification and clarification of our policies. You should consult it often when referencing Arts & Sciences policy to ensure you have the latest version. While every effort has been made to make this Handbook as up to date as possible, changes will undoubtedly occur. Various committees and officers of the College having responsibility for areas covered by the Handbook reserve the right to make such changes in the policies and procedures contained in this Handbook as deemed appropriate. As always, we would appreciate hearing from you regarding those things that require correction or clarification.

Sincerely,

A handwritten signature in black ink, appearing to read "Elizabeth D. Smith". The signature is written in a cursive, flowing style.

TABLE OF CONTENTS

FOREWORD	0
TABLE OF CONTENTS	1
PART I: THE COLLEGE	6
HISTORY	6
MISSION STATEMENT	7
OUR CORE VALUES	7
OUR LEGACY	7
CHARTER	8
BOARD OF TRUSTEES	8
<i>Standing Committees of the Board of Trustees</i>	<i>8</i>
OFFICE OF THE PRESIDENT	9
INSTITUTIONAL DIVERSITY AND EQUITY	9
OFFICE OF THE PROVOST	9
OFFICE OF THE DEAN OF FACULTY	10
GUARINI SCHOOL OF GRADUATE AND ADVANCED STUDIES	10
Office of the Registrar	11
DEAN OF THE COLLEGE/STUDENT AFFAIRS	11
Undergraduate Deans	12
Accessibility services	12
Academic Skills Center	12
Other student affairs resources	12
OFFICE OF THE EXECUTIVE VICE PRESIDENT	13
Environmental Health And Safety (EHS)	13
Facilities Operations And Management (FO&M)	13
Risk and Internal Controls Services	14
Controller	14
Human Resources	15
OFFICE OF VICE PRESIDENT FOR DEVELOPMENT	15
THE OFFICE OF COMMUNICATIONS	16
MISSION	16
VISION	16
PART III: POLICIES AND PROCEDURES	17
FREEDOM OF EXPRESSION AND DISSENT	17
ACADEMIC FREEDOM	17
THE ACADEMIC HONOR PRINCIPLE	17
Faculty Guidelines For Responding To Violations Of The Academic Honor Principle	19
FERPA Guidelines On Confidentiality Of Student Education Records	19
TEACHING GUIDELINES FOR FACULTY	20
DARTMOUTH COLLEGE SEXUAL AND GENDER-BASED MISCONDUCT POLICY	24
Policy Statement	24
PROCEDURES FOR RECRUITMENT AND HIRING	24
Attendant Affirmative Action Concerns	25

<i>Faculty Recruiting Budget</i>	26
FACULTY APPOINTMENTS	27
<i>CONFIDENTIALITY</i>	27
<i>Effective Date of Appointment for Regular Faculty</i>	27
TENURE-TRACK APPOINTMENTS	27
<i>Recruitment</i>	27
<i>Instructor</i>	28
<i>Assistant Professor</i>	28
TENURE AND PROMOTION TO ASSOCIATE PROFESSOR	32
<i>Expectations of Performance</i>	33
<i>Extension and Postponement of Reappointment or Tenure</i>	33
GUIDELINES FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR	34
<i>Guide to the Candidate</i>	34
<i>Guide to the Department or Program</i>	35
<i>Guide to the Associate Dean</i>	37
PROMOTION TO PROFESSOR	38
<i>Expectations of Performance</i>	39
<i>GuideLINES for Promotion TO Professor</i>	39
APPEAL OF REAPPOINTMENT/TENURE/PROMOTIONS DECISIONS FOR ARTS & SCIENCES FACULTY	43
JOINT APPOINTMENT PROCEDURES	43
<i>Initiating Joint Appointments</i>	43
<i>The Search and the Initial Appointment</i>	44
<i>Appointment Letter: Teaching Responsibilities, Annual Reviews, and Service</i>	44
<i>Evaluation, TENURE and PROMOTION</i>	45
<i>Joint Appointments for Current Members of the Dartmouth Faculty</i>	46
<i>Checklist of Procedures for Joint Appointments</i>	46
SENIOR RECRUITMENT	47
LESS THAN FULL-TIME APPOINTMENTS	48
FACULTY MENTORING & PROFESSIONAL DEVELOPMENT	48
<i>GUIDE TO ASSISTANT AND UNTENURED ASSOCIATE PROFESSORS</i>	48
<i>GUIDE TO TENURED ASSOCIATE PROFESSORS</i>	49
<i>GUIDE TO PROFESSORS</i>	49
<i>GUIDE TO DEPARTMENT/PROGRAM CHAIRS</i>	49
<i>GUIDE TO ASSOCIATE DEANS</i>	50
RESEARCH FACULTY	51
<i>Introduction</i>	51
<i>Specifications</i>	51
<i>Eligibility</i>	52
<i>Procedures for Initial Appointments, Reappointments and Promotion</i>	52
OTHER APPOINTMENTS	53
<i>Research Assistant</i>	54
<i>Resident Scholar, Visiting Scholar</i>	54
<i>Postdoctoral Scholar</i>	54
<i>Research Associate</i>	54
<i>Post-Graduate Research Associate</i>	55
<i>Research Scientist, Research Analyst, Research Engineer</i>	55

<i>Distinguished Fellows (of Sponsoring Department, Program, Center, Institute)</i>	56
EQUIPMENT TRANSFER GUIDELINES	56
<i>Procedure For Transferring Capital Equipment From One Institution To Another</i>	58
INTERDISCIPLINARY PROGRAMS	58
<i>Program Chairs</i>	58
<i>Personnel Committees</i>	58
<i>Program Membership</i>	58
<i>Steering Committees</i>	59
FACULTY SALARY AND COMPENSATION.....	59
<i>COMPENSATION AND ACADEMIC YEAR OBLIGATION: TENURE-TRACK FACULTY</i>	60
<i>Supplementary Compensation for Tenure-Track Faculty: Free Term Activities</i>	60
<i>Supplementary Compensation: Special Academic Year Activities</i>	61
<i>Sponsored Faculty Compensation Guidelines</i>	62
<i>Research Leave terms (RESL) – Special case</i>	63
<i>NIH and Other Salary Caps</i>	63
<i>Arrangments for Sponsored Support</i>	63
<i>Research Faculty Compensation Guidelines</i>	64
<i>Additional Compensation</i>	64
<i>Arrangments for Additional Compensation</i>	64
<i>Salary Research Leave (SRR) Accounts</i>	65
PAYROLL PROCEDURES.....	65
<i>Salary Advances</i>	66
<i>U.S. Lawful Permanent Resident (LPR or “Green Card”) Sponsorship Policy</i>	66
FRINGE BENEFITS.....	66
<i>Clarification Of Benefit Eligibility</i>	67
<i>Interest-Free Loans</i>	67
<i>Flexible Retirement Options (FRO)</i>	67
<i>College Tuition Aid Program (CTAP)</i>	71
ACADEMIC CALENDAR AND TERM-TRADING	72
<i>Instructional Calendar</i>	73
FACULTY LEAVES.....	74
<i>Guidelines on Leave Terms and Teaching Commitments</i>	74
<i>Junior Faculty Fellowship (JFF)</i>	74
<i>Senior Faculty Grant (SFG)</i>	75
<i>Sabbaticals (SAB)</i>	75
<i>Prestigious Award Policy (PRST)</i>	76
<i>Course Trading and Reductions</i>	77
<i>Release Time for Curriculum Development</i>	77
<i>Maternity Leave</i>	77
<i>Parental Leave</i>	78
<i>Medical Leave</i>	78
<i>Leaves of Absence without Compensation (LOC)</i>	78
<i>Research Leave (RESL)</i>	79
OFF-CAMPUS PROGRAMS	79
ARTS AND SCIENCES PROFESSIONAL CONDUCT AND RESPONSIBILITY.....	81
<i>Process for Resolving Grievances Against Members of the Faculty</i>	81

TENURED APPOINTMENTS AT ANOTHER INSTITUTION	86
CONSULTING AND OUTSIDE EMPLOYMENT	86
EMERITUS/EMERITA APPOINTMENTS.....	87
APPOINTMENT OF CONTINGENT FACULTY	87
<i>Lecturer</i>	87
<i>Senior Lecturer</i>	87
VISITING APPOINTMENTS.....	88
<i>Adjunct Appointments</i>	89
<i>Lecturer</i>	89
<i>Senior Lecturer</i>	89
NAMED CHAIRS	90
INDEMNIFICATION	90
NONDISCRIMINATION POLICY	91
PHYSICAL AND LEARNING DISABILITIES	91
EMPLOYMENT OF PARTNERS AND FAMILY MEMBERS	92
<i>Assistance in Spouse/Partner Hiring</i>	92
<i>Employment Relationships Involving Relatives/Nepotism</i>	92
<i>Procedures for Seeking Partner Employment Assistance</i>	93
ACADEMIC ASSISTANTS (UNDERGRADUATE)	93
<i>Use of Undergraduates as Graders</i>	93
SPONSORED RESEARCH	94
PART IV: FACILITIES, SERVICES AND RESOURCES	94
ADMISSION OF FACULTY AND FACULTY SPOUSES TO DARTMOUTH COURSES FOR CREDIT	94
<i>Auditing</i>	94
FACULTY SUPPORT	95
<i>Faculty Research And Professional Development Fund (FRPDF)</i>	95
<i>Walter And Constance Burke Research Initiation Awards</i>	95
<i>Research And Professional Development Support For Instructor Contingency Appointments</i>	95
COLLEGE RENTAL HOUSING.....	95
<i>Real Estate Office</i>	96
PARKING FACILITIES.....	96
THE LIBRARIES OF DARTMOUTH COLLEGE	96
<i>Strategic objectives</i>	96
STRATEGIC PRIORITIES	97
INFORMATION, TECHNOLOGY AND CONSULTING (ITC).....	97
MONTGOMERY ENDOWMENT	97
NELSON A. ROCKEFELLER CENTER	98
FANNIE AND ALAN LESLIE CENTER FOR THE HUMANITIES.....	98
HOPKINS CENTER.....	98
THE HOOD MUSEUM OF ART.....	98
OFFICE OF CONFERENCES AND SPECIAL EVENTS	99
ALUMNI CLUB SPEAKING	100
PART V: DEPARTMENTAL AND PROGRAM ADMINISTRATION.....	100
DEPARTMENTAL AND PROGRAM BUDGETS	100

<i>Departmental and Program Budget Administration</i>	100
ADMINISTRATIVE SERVICES	101
STAFF POLICIES AND PROCEDURES	101
<i>Recruitment</i>	101
<i>Performance Evaluation</i>	101
<i>Salary Increases</i>	101
<i>Payroll</i>	102
DEPARTMENTAL/PROGRAM SPACE AND PHYSICAL PLANT FACILITIES	102
<i>Faculty Offices</i>	102
<i>Classroom Space</i>	102
TRAVEL ON COLLEGE BUSINESS	103
<i>Travel Advances</i>	103
<i>Dartmouth Corporate Card</i>	103
<i>Reimbursement Of Travel Expenses</i>	104
<i>Reimbursement for Entertainment</i>	104
INTERCAMPUS MAIL & U.S. MAIL	104
PROCUREMENT SERVICES	104
RECORDS MANAGEMENT	104
LEGAL SERVICES	105
SOURCES OF INFORMATION ABOUT DARTMOUTH	105
<i>Officers, Regulations and Courses (ORC)</i>	105
<i>Dartmouth College Directory</i>	105
<i>Student Handbook</i>	105
<i>Sources</i>	105
<i>Dartmouth College Affirmative Action Plan</i>	105
APPENDIX A	106
FULL DARTMOUTH COLLEGE SEXUAL AND GENDER-BASED MISCONDUCT POLICY	106
<i>Office of Primary Responsibility</i>	106
<i>Affected Parties</i>	106
<i>Policy Statement</i>	106
<i>Procedure</i>	121
<i>Last Revised</i>	124

PART I: THE COLLEGE

HISTORY

Dartmouth College had its origins in More's (later Moor's) Indian Charity School, a precursor educational enterprise established in the year 1754 at Lebanon, Connecticut, by Reverend Eleazar Wheelock, a minister of the Congregational faith and a graduate of Yale. A search for support of this undertaking and difficulties in finding either Indians or a charter in Connecticut led Wheelock to relocate his mission to the province of New Hampshire, where offers of land and expressions of civic interest had earlier been elicited from the provincial authorities. Through the good offices of Governor John Wentworth, and others, a royal charter was obtained and approved on December 13, 1769, establishing a college "for the education and instruction of Youth of the Indian Tribes in this Land in reading, writing, and all parts of Learning which shall appear necessary and expedient for civilizing and Christianizing Children of Pagans as well as in all liberal arts and sciences and also of English Youth and any others." The following year Mr. Wheelock settled in the township of Hanover and erected his single log hut as the home of the new school. Wheelock had suggested that the school be called Wentworth, but the Governor who was so instrumental in securing the royal charter modestly preferred to name it for his friend William Legge, the Earl of Dartmouth, an important benefactor of the College, and a Trustee of its original endowment. The first class of four students was awarded baccalaureate degrees in the initial commencement exercises undertaken in 1771, and there has been a graduating class every year since.

The College was hardly established before jurisdictional disputes between John Wheelock, Eleazar's son and the second president, and the institution's Board of Trustees developed into a controversy, which threatened its very life. Persuaded by President Wheelock, Governor Plumer of New Hampshire and the State legislature enacted measures to "pack" the Board of Trustees and to rename the institution "Dartmouth University." Refusing to be intimidated, the former Board of Trustees continued to operate Dartmouth College side by side with the University until the controversy was settled finally by proceedings before the U. S. Supreme Court, in which Daniel Webster represented the College. The decision handed down by Chief Justice Marshall in February 1819 preserved the original charter free of interference from the Senate, in one of the most important statements on the freedom of private institutions existing in American jurisprudence. The future of the College was thus assured.

In 1797, prior to the Dartmouth College Case, Dr. Nathan Smith, one of the leading surgeons and physicians of the day had established the Dartmouth Medical School. Other additions to the College were established. In 1851 the Chandler School of Science was founded as the result of a generous gift by a Boston merchant of that name, and subsequently became an integral part of the College now represented in the various Science departments. In 1868 an agricultural school was established by the State of New Hampshire under the Morrill Land Grant Act. In 1892 it was relocated to Durham, New Hampshire, where it has since evolved into the University of New Hampshire. The Thayer School of Engineering was founded in 1871 through the generosity of Sylvanus Thayer, and in 1899 the Amos Tuck School of Business Administration was founded with an endowment furnished by another alumnus, Edward Tuck, Class of 1862. Post-baccalaureate studies were well established by 1850, when the Medical School alone had some 52 students in this category. Dartmouth first conferred a Ph.D. degree on a candidate in the Classics Department in 1885, but a doctoral program in the modern sense did not get underway until 1960, when the College authorized the development of a Ph.D. program in the Medical School that led to an interdisciplinary doctoral program in molecular biology. Shortly thereafter departmental programs in mathematics and physics were authorized, and since that time doctoral graduate study on a modest scale has been undertaken by all departments in the sciences and by the Department of Psychological and Brain Sciences. In addition, Masters Programs are offered in Electro-Acoustical Music, Comparative Literature, among others.

3. By December 1, the Committee will provide to the Associate Dean a copy of the Candidate's portfolio, as described above in Guide to the Candidate, along with the Committee's reappointment decision letter. Following the December 1 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the portfolio, such as publications, contracts, grants, or awards.
4. The Associate Dean will submit a recommendation when transmitting the reappointment dossier to the Dean of the Faculty.
5. If, at any time, the Associate Dean or Dean determines that the reappointment review process has been compromised, the CAP will delay deliberation until the issues have been resolved; the Associate Dean will inform the Chair when appropriate. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
6. The CAP may require changes in the wording of the committee letter to be shared with the Candidate. The Associate Dean will transmit any recommended changes to the Chair and require that they be incorporated in the letter before the Chair shares the letter with the Candidate.
7. Following the CAP action and approval of the final version of the recommendation letter by the Associate Dean, the Candidate will be provided with a copy of the letter and a statement of the CAP action on the reappointment. The Candidate will then meet separately with the Chair(s) and with the Associate Dean. The purpose of these discussions is to provide constructive recommendations to the Candidate to guide their efforts toward promotion and tenure. The letter prepared by the department or program at reappointment will be included in the dossier submitted to the CAP if and when the Candidate is considered for tenure and promotion to Associate Professor.

TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

Promotion to the rank of Associate Professor, when accompanied by a tenure commitment, is the most critical personnel decision made by the faculty and must be handled with the strictest confidentiality. Tenured members of the department or program normally consider promotion of an Assistant Professor to Associate Professor in the sixth year in rank for those holding a full-time, or the ninth year for an individual with less than a full-time appointment.

Specific evidence of outstanding performance in scholarship and teaching is essential. Other contributions to the College and the profession also will be considered. Although the Trustee Executive Committee approves most personnel actions, a summary of the achievements of the Candidate and of the evaluation reached by the CAP are presented to the full Board of Trustees. Implied in such appointments is the common interest of the individual and the College in a long-term association. In the final analysis, the tenured members of the department or program, the Associate Dean, the CAP, the President, and the Board of Trustees must exercise judgment in tenure decisions to provide Dartmouth with the most distinguished faculty possible.

In exceptional cases an Assistant Professor may request consideration for promotion and tenure prior to the sixth year; permission will only be granted on the recommendation of the appropriate Associate Dean, in consultation with the tenured members of the department or program.

In rare cases where promotion to Associate Professor is made without a recommendation either for tenure or a terminal contract, appointment as Associate Professor will be made for three years, with the understanding that a decision regarding tenure will be made by the end of the second year. In the case of a second review of a faculty member previously promoted to Associate Professor without tenure, evaluations should be sought from scholars and students who were not involved in the earlier decision, whenever feasible. As in every tenure case, external reviewers will be enjoined to evaluate the body of scholarship presented in the Candidate's file.

Initial non-tenure appointments to the Dartmouth faculty at the rank of Associate Professor will normally be for a term of four years, with the expectation that a tenure decision will be reached no later than the end of the third year.

EXPECTATIONS OF PERFORMANCE

In addition to considering the needs of the institution, the decision to make a tenure appointment involves experienced judgment about expected performance in the ensuing years, based on an individual's record at that point. It is not possible to enumerate specific qualifications for tenure so precisely and objectively that the need for judgment is obviated. Every candidate should present an outstanding record both as a scholar and a teacher, with a clear likelihood of maintaining professional distinction and of providing intellectual leadership in the faculty in the years ahead.

With respect to scholarship and creative production, broadly defined, the judgment of professionals outside the College, as well as that of Dartmouth colleagues, will be given significant weight. (Information on the specific questions asked of external reviewers is available [here](#).) The qualitative assessment of books and articles, as well as artistic and other professional accomplishments or contributions to the larger scholarly and artistic communities, will be more consequential than the quantity of work. Nonetheless, the quantity of scholarly work must indicate significant progress and a sustained professional trajectory.

It is difficult to define outstanding teaching in specific terms. Comparative judgment by current and former students and by faculty colleagues is a necessary part of weighing the Candidate's performance against the standards of the College. Consideration will be given to classroom instruction. Work with individual undergraduate and graduate students and postdoctoral fellows, as well as course and program development, will also be taken into account. (Information on the specific questions asked of students is available [here](#).)

In weighing the performance of a candidate beyond scholarship and teaching in what is traditionally termed service, emphasis will be placed on the nature and quality of the contributions. Service on committees and to department or program administration, initiatives with students or student groups beyond instructional obligations, and assistance to other colleagues in research and teaching should be considered. In addition, due weight should be given to a candidate's service to the wider profession.

EXTENSION AND POSTPONEMENT OF REAPPOINTMENT OR TENURE

Tenure track faculty members with an approved maternity/parental leave will automatically be granted an extension of the reappointment/tenure clock. Specifically, for each child associated with an approved maternity leave, parental leave or both, a faculty member will be granted an extension of the reappointment/tenure clock by one year.

This extension can be taken any time prior to the year in which the tenure decision is scheduled. For example, a faculty member with an approved maternity and parental leave prior to reappointment may use the one-year extension for the reappointment review, may choose to defer the one-year extension to the period following reappointment but prior to the tenure review, or may opt for no extension of the reappointment/tenure clock. The number of years that the reappointment/tenure clock may be extended is based upon the number of children associated with approved maternity and/or parental leaves. Because an extension will automatically be granted, faculty members who opt to forego extension of the reappointment/tenure clock must notify the Associate Dean in writing.

Tenure track faculty members will automatically be granted an extension of the reappointment/tenure clock by one year for approved medical leave(s) in a given academic year. For example, a faculty member with an approved one-term medical leave will be granted a one-year extension of the reappointment/tenure clock. A faculty member with two approved terms of medical

leave in a given academic year (July 1 to June 30) will also be granted a one-year extension of the reappointment/tenure clock. A faculty member with approved medical leaves in two different academic years will be granted a two-year extension of the reappointment/tenure clock. Because an extension will automatically be granted, faculty members who opt to forego extension of the reappointment/tenure clock must notify the Associate Dean in writing.

Faculty members with approved maternity/parental and medical leaves in the same academic year will be granted a one-year extension of the reappointment/tenure clock but may request an additional extension by writing to the Associate Dean.

Individuals with extenuating circumstances due to health, personal or family matters, or professional exigencies that impose special and arduous burdens or impediments may request a postponement of the tenure review, with a concomitant extension of the existing contract. All extensions of this type must be accompanied by a recommendation from the tenured members of the department or program and must be approved by the Associate Dean and the CAP.

GUIDELINES FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

GUIDE TO THE CANDIDATE

In the spring term prior to the academic year in which promotion to the rank of Associate Professor with tenure is considered, the Candidate will meet with the appropriate Associate Dean to review the following procedures. It is important that the Candidate also discuss all aspects of the process with the Chair of the department or program.

1. By May 1, the Candidate should submit to the Chair of the tenure committee, and to the Associate Dean, a current curriculum vitae and a list of eight to ten individuals qualified to review the Candidate's scholarly work, some of whom will be selected for the final list. Normally these reviewers must hold a tenured appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. The list should include the prospective reviewers' email address, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. Potential conflicts-of-interest (e.g., coauthor, PhD or postdoctoral advisor) should be identified. The Candidate may specify one or two individuals whom they prefer not be considered with a brief explanation of why they should be excluded. The names of reviewers and their evaluations are confidential and will not be made known to the Candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality is required of all participants.
2. By October 1, the Candidate may submit a list of students especially qualified to speak about his or her teaching and mentoring to the Associate Dean, who will request letters from these students, if they have not already been solicited as part of the normal sampling process. These letters are identified as "recommended by the Candidate." These additional requests for letters will not normally exceed twenty. The Candidate will not be informed of the names of any students who are identified as part of the normal sampling process.

The Candidate may submit to the Chair of the tenure committee the names of department or program Chairs at Dartmouth, or Directors of Dartmouth centers, Dartmouth institutes, or Dartmouth organizations, who could provide relevant information about significant teaching, mentoring, collaborative research, or service outside the Candidate's home department or program.

3. Normally no later than December 1, the Candidate will submit a portfolio of materials, in electronic format, which will be made available to the tenure committee, outside reviewers, and the CAP. Any modification of this date needs to be authorized by the Associate Dean. The portfolio will consist of the following:
 - a. curriculum vitae,

- b. published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios),
- c. published reviews of the Candidate's work, where available, and
- d. a statement (approximately five single-spaced pages) outlining the Candidate's achievements and goals related to scholarship, teaching, and other contributions to the College and to the profession.

If the Candidate is unsure what to include, they should consult with the Associate Dean. Although the intent is to distribute materials electronically, certain materials (e.g., published books) may be provided in hardcopy. In some cases, such as when the professional work consists of performances or exhibitions, alternative forms of external review should be arranged by the Candidate in consultation with the Chair. It is the Candidate's responsibility to assemble the portfolio and ensure its accuracy, but reasonable associated costs (e.g., purchase of books or software, mailing of print materials) will be reimbursed by the Dean of Faculty.

Following the December 1 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the portfolio, such as publications, contracts, grants, or awards.

- 4. After the tenure committee has submitted its recommendation, the Associate Dean will discuss the committee's recommendation with the Candidate. At this time the Candidate should raise any procedural questions or concerns. The Associate Dean will then submit the committee's recommendation, along with the Associate Dean's own assessment, to the CAP.

GUIDE TO THE DEPARTMENT OR PROGRAM

The tenure committee will normally consist of the tenured members of the Candidate's department or program, chaired by the department or program Chair. Those tenured professors who cannot, or choose not to, participate in person in the committee's deliberations may not vote on the case. They also may not convey their opinions to the Chair, Associate Dean, or CAP. The committee Chair is allowed to cast a vote. If they prefer, the Chair may choose to abstain, unless their vote is needed to break a tie.

A committee must consist of at least four voting members. If a department or program is not large enough, a minimum of two additional tenured full professors from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the tenure committee with at least two additional tenured faculty members, even if there are already four or more in the department or program. The Associate Dean should confer with the Candidate and the department or program Chair regarding the composition of this committee. The Dean of the Faculty, in consultation with the Associate Dean, will assemble a list of potential committee members by May 1, submit it to the CAP for approval, and appoint the committee.

When more than one candidate from a department or program is being considered for promotion and tenure in the same year, they will normally share the same committee, and their cases will come before the CAP at the same time. Each case, however, receives consideration on its own merits; candidates are not competing for a limited number of positions.

- 1. The Chair will remain in close communication with the Candidate throughout the tenure procedure. Any modification of the December 1 date for delivery of materials must be authorized by the Associate Dean.
- 2. By May 1, the Candidate should submit to the Chair of the tenure committee and the Associate Dean a list of eight to ten possible external reviewers. The Candidate's list should include the prospective reviewers' email addresses, their field of specialization and a brief description of why they are particularly qualified to evaluate the dossier. In general, candidates should avoid recommending reviewers with conflicts of interest (e.g. frequent co-author or former

mentor). Candidates should identify any potential reviewers with such conflicts of interest. The list may also include one or two individuals whom the Candidate prefer not be considered, with a brief explanation of why they should be excluded. The Chair, in consultation with the other members of the committee, will generate a list of eight to ten additional prospective reviewers, including their email address, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. The Chair will forward the committee's list to the Associate Dean by June 1, and may choose to comment on the Candidate's selections. The list compiled by the committee may include the names of reviewers that also appear on the Candidate's list, but normally not more than three. The Associate Dean compiles the composite list of reviewers to be solicited. The Associate Dean may independently add names not on either the Candidate's or the committee's list. In some cases, the Associate Dean may consult further with the committee Chair to identify additional prospective reviewers.

Normally these reviewers must hold a tenured appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. The names of these reviewers are confidential and will not be made known to the Candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality is required of all participants. In some cases, for example, where the professional work consists of performances or exhibitions, alternative forms of external review may have to be arranged.

At the request of the Candidate, the Chair of the tenure committee will solicit confidential letters of evaluation from any department or program Chair, or Director of a Dartmouth center, institute, or organization who could provide information about significant teaching, mentoring, collaborative research, or service by the Candidate outside of their home department or program. These letters will be submitted to the Chair of the tenure committee for consideration by the committee and inclusion with the materials to be forwarded to the Associate Dean.

3. The members of the tenure committee will examine the materials submitted by the Candidate, review the confidential letters solicited by the Dean of the Faculty from external reviewers, former students, and other appropriate sources, and consider other evidence of teaching (e.g., department or program teaching evaluations, class visitation reports, College course assessments). The committee should also consider the recommendation that the department or program submitted at the time of the Candidate's reappointment.
4. After the committee has met to deliberate on the tenure and promotion and provide a recommendation, the Chair will write a letter to the Associate Dean, drafted in consultation and shared with all members of the committee, that reports the vote and presents in detail the committee's reasoning based on the evidence of the Candidate's scholarship, teaching (including graduate teaching and work in the graduate program where appropriate), and other contributions. The letter, even as it explains the reasoning of the majority, should reflect the full discussion, including dissenting points of view. If individuals feel that the committee's letter does not adequately represent their particular perspectives, they may submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair, who will share them with the tenure committee. They will then be submitted to the Associate Dean along with the committee's letter. If the Associate Dean determines that a dissenting letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may choose to exclude it from the dossier. Further, if the Associate Dean determines that the committee's letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may ask the Chair to revise the letter in consultation with the committee.

The committee must use a secret ballot. The committee chair's letter to the Associate Dean indicates who was present, who was not present, with a brief explanation of their absence, and how many members voted for and against recommending tenure, and how many abstained.

The committee must recommend either promotion with tenure or a one-year terminal appointment at the rank of Assistant Professor. A tie vote is effectively a vote against recommending tenure.

5. After the committee concludes its deliberations, but before the Chair submits the committee's letter to the Associate Dean, the Chair will inform the Candidate of the recommendation (positive or negative). The Chair can also inform the Candidate whether the vote was unanimous but the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.
6. After receiving the Committee's letter and prior to submitting his or her own evaluation to the CAP, the Associate Dean must discuss the strengths and weaknesses of the case separately with the tenure committee Chair, the Candidate, and any other members of the tenure committee that the Associate Dean finds it appropriate to consult. The Candidate should raise any procedural questions or concerns. If, at any time, the Associate Dean or Dean determines that the tenure review process has been compromised, the CAP will delay deliberation until the issues have been resolved; the Associate Dean will inform the Chair when appropriate. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
7. The Associate Dean will submit his or her own recommendation when transmitting the dossier to the Dean of the Faculty.

GUIDE TO THE ASSOCIATE DEAN

The Associate Dean bears primary responsibility for ensuring that the tenure review process conforms to College policies and is the primary conduit of information about the process to the Candidate.

1. In the spring term prior to the academic year in which promotion is considered, the Associate Dean will meet with the Candidate to review the procedures.
2. The Associate Dean and the Dean will assemble and appoint the tenure committee by May 1.
3. By May 1, the Candidate should submit to the tenure committee Chair and the Associate Dean a list of eight to ten possible external reviewers. The list should include the prospective reviewers' email addresses, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. The Candidate may indicate one or two individuals whom they prefer not be considered with a brief explanation of why they should be excluded. The Chair, in consultation with the other members of the committee, will provide a list of eight to ten additional prospective reviewers, including their email address, field of specialization and a brief description of why they are particularly qualified to evaluate the dossier. The Chair will forward the committee's list to the Associate Dean by June 1, and may choose to comment on the Candidate's selections. The Associate Dean compiles the list of reviewers to be solicited. The Associate Dean may independently add names not on either the Candidate's or the committee's list. In some cases, the Associate Dean may consult further with the committee Chair to identify additional prospective reviewers. The Associate Dean should normally obtain letters from eight to ten reviewers. Normally the reviewers must hold a tenured appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. Reviewer names are confidential and will not be made known to the Candidate.
4. The Associate Dean, on behalf of the Dean of the Faculty, will solicit letters from among the Candidate's former students. Any student who has been accused by the Candidate of Honor Code violations should be excluded from this solicitation.
5. By October 1, the Candidate may submit to the Associate Dean a list of students especially qualified to speak about his or her teaching and mentoring. The Associate Dean will request letters from those students if they have not already been solicited by the Dean of the Faculty as part of the normal sampling process. These letters are identified as "recommended by the Candidate." These additional requests will not normally exceed twenty. The Candidate will not be informed of the names of any students who are identified as part of the normal sampling process.

The Candidate may submit to the Chair of the tenure committee the names of department or program Chairs at Dartmouth, or Directors of Dartmouth centers, Dartmouth institutes, or Dartmouth organizations, who could provide relevant information about significant teaching, collaborative research, mentoring, or service outside the Candidate's home department or program.

6. By December 1, the Candidate will provide to the Associate Dean a copy of his or her portfolio, as described above in Guide to the Candidate. The Associate Dean will send the Candidate's portfolio to the external reviewers, along with an explanation of the criteria for tenure and promotion.
7. After the department or program has submitted its evaluation and prior to submitting his or her own evaluation to the CAP, the Associate Dean must discuss the strengths and weaknesses of the case separately with the tenure committee Chair, the Candidate, and any other members of the tenure committee that the Associate Dean finds it appropriate to consult. At this time, the Candidate should provide any relevant updates and raise any procedural questions or concerns. If, at any time, the Associate Dean or Dean determines that the tenure review process has been compromised, the CAP will delay deliberation until the issues have been resolved; the Associate Dean will inform the Chair when appropriate. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
8. The Associate Dean will submit a recommendation when transmitting the dossier to the Dean of the Faculty.
9. The dossier forwarded to the CAP will contain the following:
 - a. Department or program roster with appointment terms for all faculty,
 - b. Letter describing the recommendation from the Associate Dean to the Dean of the Faculty,
 - c. Teaching and leave schedule of the Candidate, year by year and term by term since the time of initial appointment,
 - d. Tenure committee's letter detailing the reasons for their recommendation,
 - e. Letters from tenure committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation,
 - f. Other letters solicited by the Chair of the tenure committee from the Chairs of departments or programs or the Directors of Dartmouth centers, institutes or organizations,
 - g. Department's or program's letter submitted to the Associate Dean at the time of reappointment,
 - h. Curriculum vitae of the Candidate,
 - i. Statement submitted by the Candidate,
 - j. Evaluations solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae,
 - k. Letters solicited by the Associate Dean from current and former students, and
 - l. Other evidence deemed appropriate by the Dean of the Faculty (e.g., previous department or program and Associate Dean letters submitted for CAP action).

During CAP deliberations, the Associate Dean presents background and answers questions, but will not be present during the CAP discussion and vote.

PROMOTION TO PROFESSOR